

# OSHA Form 33

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HIOSH



# Objectives

- Become familiar with OSHA form 33
- Understand why it's a good tool
- Learn the basics of using the form
- Become familiar with common pitfalls

# What is the OSHA Form 33?

- Evaluation tool for **effectiveness** of **safety and health management systems** (SHMS)
- Scores 58 inter-related attributes

# Safety and Health Management System



- System is a set of components that work together to achieve a certain objective, i.e. prevent accidents in the workplace
- All the components are interconnected and affect each other.
- A failure in one is a failure in all.

# Ratios of Incidents



# Why is the Form 33 a Good Tool?

- It is *validated*
  - Effective predictor of SHMS success
- It is *consistent*
  - From one person to another, at different times
- OSHA uses it to evaluate
  - SHARP
  - VPP (coming soon)



# Why is the Form 33 a Good Tool?

- 1985 version I
- 1990-93 version II, (1989 OSHA program mgmt guidelines)
- 1991 first validation study
- 1995-96 version III
- 1998 validation study
- 1999 predictability study
- 2001 newest version

# OSHA Form 33 Uses:

- SHARP applicants
  - Safety and Health Recognition Program
- VPP applicants (coming soon)
  - Voluntary Protection Program
- Consultation services



# Form 33 SHMS Components

- Operational Component (19 attributes)
- Managerial Component (20 attributes)
- Cultural Component (19 attributes)

# Form 33 SHMS Components

**Operational:** Well defined and communicated system to identify, correct and control hazards

**Managerial:** Effective planning, administration, training, management leadership and supervision to support prevention of hazards

**Cultural:** Developed “**safety culture**”: Management and employees working together actively & effectively

# Operational Component

- Hazard Anticipation and Detection (#1-10)
- Hazard Prevention and Control (#11-19)

# Managerial Component

- Planning and Evaluation (#20-25)
- Administration and Supervision (#26-33)
- Safety and Health Training (#34-39)

# Managerial Component

- Planning
- Controlling
- Communicating
- Coordinating
- Staffing
- Organizing
- Directing
- Staff Development
- Motivating

# Cultural Component

- Management Leadership (#40-49)
- Employee Participation (#50-58)

\*This is the ***most important*** but also the most challenging component to understand and implement

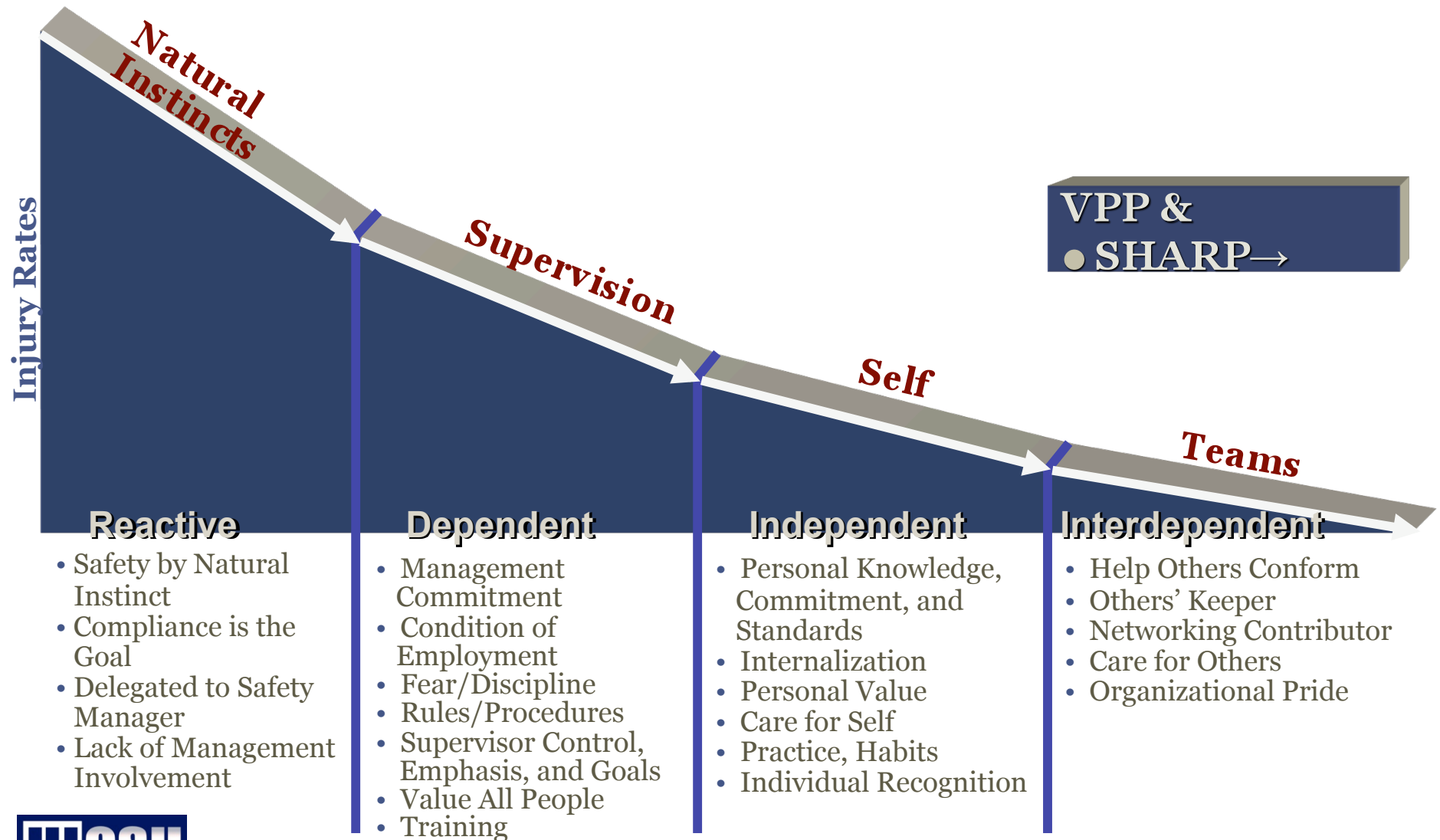
# Focus on Culture



Human  
Factors



# Safety Culture Characteristics





# Change in Business Management --- Leadership

## THEN

Top-down

Command and control

Individual Achievement

Outputs (Activities)

My Way or the Highway

## NOW

Participatory

Empowerment

Teamwork/Collaboration

Outcomes (Results)

The Best Way

# Modern Safety Management

- Management of ***people*** and their behavior
- Recognizes the value of cross-level ***teamwork*** to improve business systems.

SAFE PRODUCTION



# All Components are Inter-related

- “58 marbles in a bowl”
- Hard to move one without affecting the others



# Using the Form 33

## Rate attributes:

0 = No

1 = No, needs major improvement

2 = Yes, needs minor improvement

3 = Yes

NA = Not applicable

NE = Not evaluated



# Using the Form 33

## Gather information

- Document review
- Management, supervisor, employee interviews
- Observation of work processes, practices, conditions

# Understand the Attributes

- Refer to assessment tips for form 33

\*These are only tips, not an all inclusive explanation.

# Top Down vs. Bottom Up

- Ask management about their system
- Then verify:
  - Document review
  - Observation
  - Employee interviews
- Find a hazard
- Expand the questioning to documents and management interviews

# Example





# So what do you do?

## Option A

- Use the form 33
- Start asking questions
- Find out WHY the hazard was allowed to exist
- Use the information to improve your SHMS

## Option B

- Pull out the extension cord and say “It’s fixed!”

# Why was this allowed to exist?

Failure to identify?

If yes, what else  
should be asked?

Failure to correct?

If yes, what else  
should be asked?



# Attribute #4: “An Effective Hazard Reporting System Exists”

1. Employees can recognize hazards, understand the harm
2. System to report hazards
  - Employees know how to use it, and
  - Employees care enough to use it.
3. Hazards are corrected promptly
4. Employees reporting hazards receive prompt feedback regarding correction
5. Employees can report to other if not corrected

# #4: Some related attributes

1. #34 Safety and health training  
#46 managers assure that appropriate safety and health training is provided
2. Planning and administration
3. #35 Safety and health training  
#26-27 assignment and communication of safety and health tasks
4. #54 employee participation in hazard detection activities  
#43 managers personally follow safety and health rules
- 5, 6, 7. Administration and supervision

# Using the Form 33

- Need to understand the attributes
- Attributes are inter-related
- Evaluation yields strengths/weaknesses in SHMS →→→Action plan for improvement

# Option A or B?





# Find and Fix, Find and Fix, Find...



# Attribute #4: Falling short

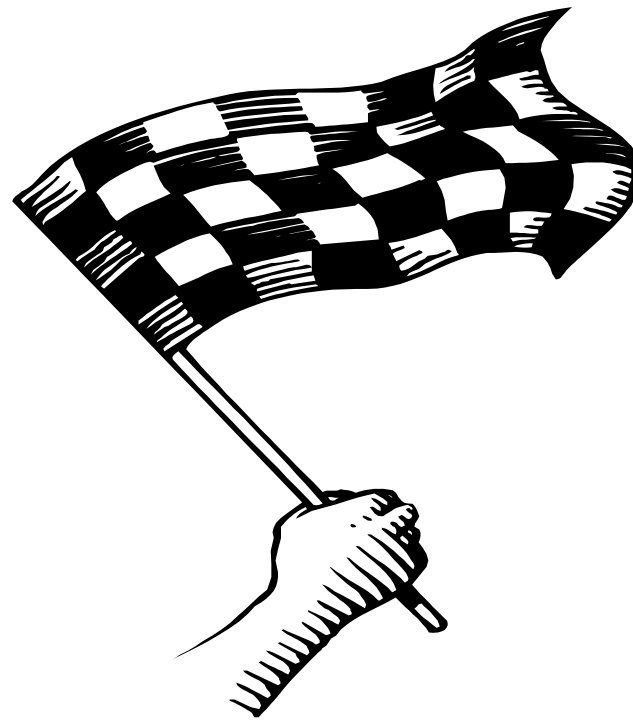
- It's common sense: the employee tells his supervisor

What rating might you give this system?

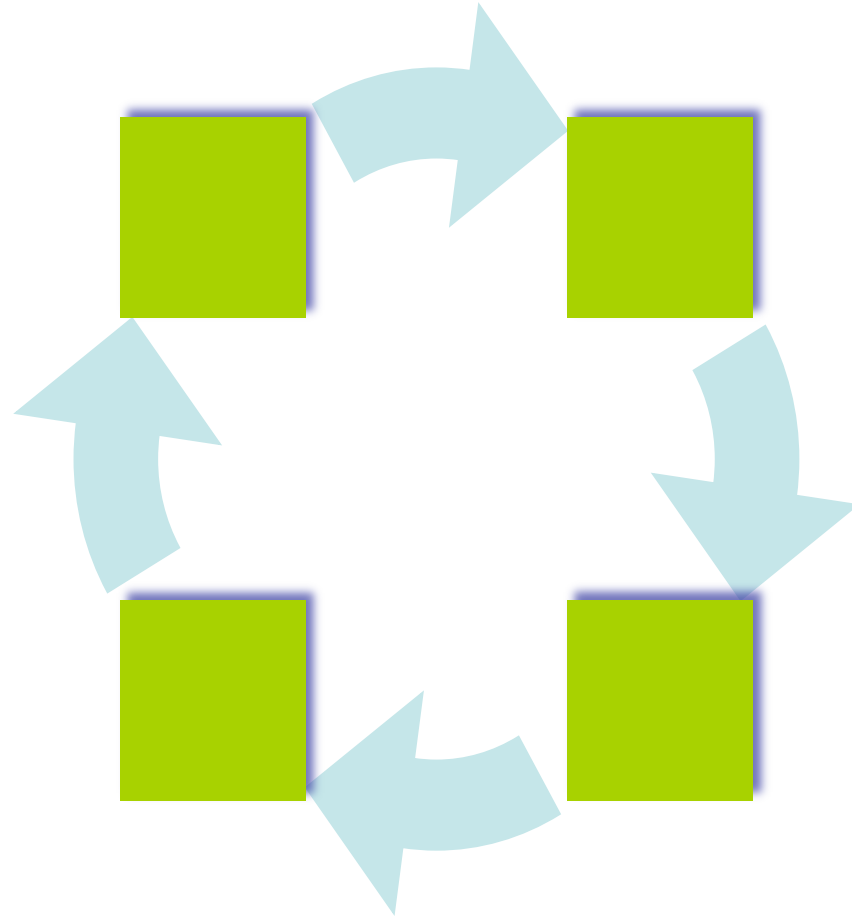


# Form 33: Common Pitfall

Thinking that you have “finished” the safety process

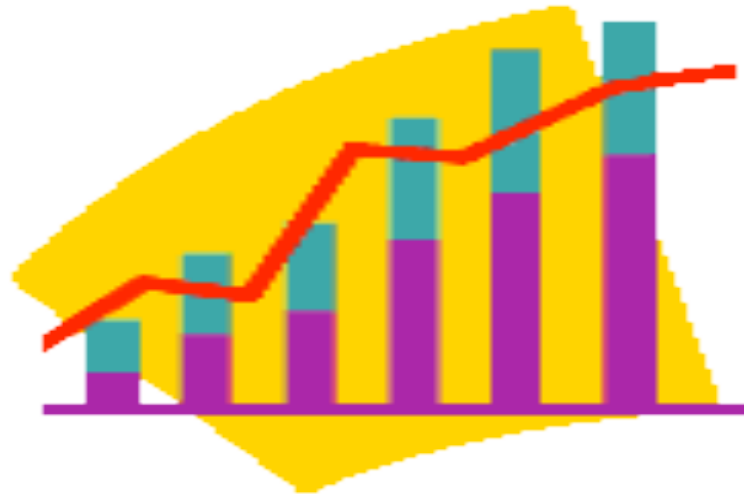


# Accident Prevention is a Process



# Form 33

- Mode of continuous improvement



# Safety Management Process

- Must be effectively **integrated** into the organization's culture and operations; and
- Must also be **adaptable** to change as the organization evolves.

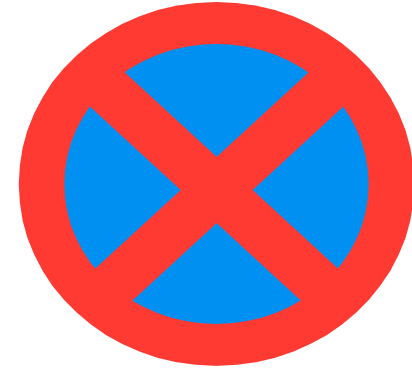
**An effective safety management system is one that meets the needs of the organization.**

# SHARP

- **S**afety and
- **H**ealth
- **A**chievement
- **R**ecognition
- **P**rogram

# SHARP Pitfalls

## ***1. SHARP is easy to obtain***

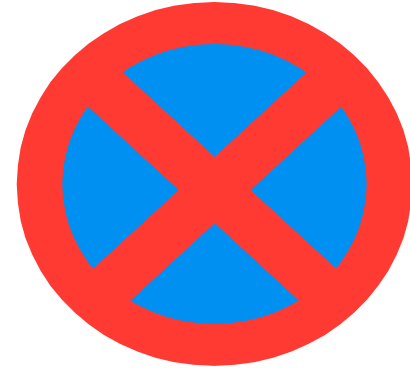


Truth: Only about 1300 out of 7 million workplaces have obtained SHARP status

We want you to be in the club, but it's an exclusive club

# SHARP Pitfalls

## 2. *SHARP* = *Compliance*



Truth: Compliance is the minimum required by law. You don't get an award this.

# Compliance vs. SHARP

- The minimum required by law
- HIOSH standards
- “Find and Fix” hazards
- Above and beyond compliance
- Best Practices
- Safety and Health Management System aimed at hazard ***prevention & continuous improvement***





# SHARP Pitfalls

3. **Someone** said I could/should  
get SHARP



Question:

Did they use the form 33?

Was it used *properly*?

# Questions?

